

Attachment A

Competitive POS Application Checklist

Proposal Application Checklist

Applicant: _____ RFP No.: HTH 420-5-06

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. *SPO-H forms are on the SPO website. See Section 1, paragraph II Website Reference.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions is applicable, Section 5	X	
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions, Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*	X	
Certifications:				
<i>Federal Certifications</i>		Section 5, RFP	X	
Debarment & Suspension		Section 5, RFP	X	
Drug Free Workplace		Section 5, RFP	X	
Lobbying		Section 5, RFP	X	
Program Fraud Civil Remedies Act		Section 5, RFP	X	
Environmental Tobacco Smoke		Section 5, RFP	X	
Program Specific Requirements:				
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Authorized Signature

Date

Attachment B

Sample Table of Contents for the POS Proposal Application

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Attachment C

Draft Special Conditions

SPECIAL CONDITIONS

1. Time of Performance. The PROVIDER shall provide the services required under this Agreement from _____, to and including _____, unless this Agreement is extended or sooner terminated as hereinafter provided.

2. Option to Extend Agreement. Unless terminated, this Agreement may be extended by the STATE for specified periods of time not to exceed three (3) years or for not more than three (3) additional twelve (12) month periods, without resolicitation, upon mutual agreement and the execution of a supplemental agreement. This Agreement may be extended provided that the Agreement price shall remain the same or is adjusted per the Agreement Price Adjustment provision stated herein. The STATE may terminate the extended agreement at any time in accordance with General Conditions no. 4.

3. Agreement Price Adjustment. The Agreement price may be adjusted prior to the beginning of each extension period and shall be subject to the availability of state funds.

4. Audit Requirement. The PROVIDER shall conduct a financial and compliance audit in accordance with the guidelines identified in Exhibit _____ attached hereto and made a part hereof. Failure to comply with the provisions of this paragraph may result in the withholding of payments to the PROVIDER.

5. The PROVIDER shall have bylaws or policies that describe the manner in which business is conducted and policies that relate to nepotism and management of potential conflicts of interest.

Attachment D

Consumer Rights

DRAFT XX/XX/XX

ADULT MENTAL HEALTH DIVISION

POLICY AND PROCEDURE MANUAL

AMHD Administration

SUBJECT: Consumer Rights

REFERENCE:

Number: 60.X00X.NEW

Effective Date: XX/XX/XX

History: New

Page: 1 of 7

Recommended:

Title: Medical Director, AMHD

APPROVED:

Title: Chief, AMHD

PURPOSE

To ensure that specified rights of each consumer are protected.

POLICY

Each provider shall have a statement designed to protect consumer's rights and comply with requirements of the Americans with Disabilities Act. The statement shall be:

- a. Consistent with Federal and State laws and regulations;
- b. Posted in strategic and conspicuous areas to maximize consumer, family and staff awareness;
- c. Signed and dated by the consumer prior to treatment; and
- d. Maintained in the treatment records of consumers.

PROCEDURE

- A. The statement given to consumers must include at the minimum the following language:

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1. You have rights no matter what your situation is. Adult Mental Health Division (AMHD) and all its providers will uphold these rights. You have these rights regardless of your:
 - Age
 - Race
 - Sex
 - Religion
 - Culture
 - Amount of education
 - Lifestyle
 - Sexual orientation
 - National origin
 - Ability to communicate
 - Language spoken
 - Source of payment for services
 - Physical or mental disability
2. You have the right to be treated with respect and dignity, and to have your right to privacy respected.
3. You have the right to know about the AMHD, the services you can receive, who will provide the services, and their training and experience.
4. You have the right to have as much information about your treatment and service choices as you need so you can give an informed consent or refuse treatment. This information must be told to you in a way you can understand. Except in cases of emergency services, this information shall include a description of the treatment, medical risks involved, any alternate course of treatment or no treatment and the risks involved in each.

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5. You have a right to information about your medications; what they are, how to take them, and possible side effects.
6. You have a right to be informed of continuing care following discharge from the hospital or outpatient services.
7. You have a right to look at and get an explanation of any bills for non-covered services, regardless of who pays.
8. You have a right to receive emergency services when you, as a prudent layperson, acting reasonably, would believe that an emergency medical condition existed. Payment for emergency services will not be denied in cases when you go for emergency services.
9. You have a right to receive emergency services when traveling outside the State of Hawaii when something unusual prevents you from getting care from an AMHD provider.
10. You have a right to usually have the same provider when you get services.
11. You have a right to an honest discussion with your providers of the options for your treatment, regardless of cost and benefit coverage.
12. You have a right to be advised if a provider wants to include you in experimental care or treatment. You have the right to refuse to be included in such research projects.
13. You have a right to complete an advance directive, living will, psychiatric advance directive, medical durable powers of attorney or other directive to your providers.
14. You have a right to have any person who has legal responsibility make decisions for you regarding your mental health care. Any person with legal responsibility to make health care decisions for you will have the same rights as you would.
15. You have the right to know all your rights and responsibilities.
16. You have the right to get help from AMHD in understanding your services.
17. You are free to use your rights. Your services will not be changed and you will not be treated differently if you use your rights.
18. You have the right to receive information and services in a timely way.

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19. You have the right to be a part of all choices about your treatment. You have the right to have a copy of your written Individual Service Plan.
20. You have the right to disagree with your treatment or to ask for changes in your Individual Service Plan.
21. You have the right to ask for a different provider or case manager. If you want a different provider or case manager, we will work with you to find another one in the AMHD network.
22. You have the right to refuse treatment to the extent allowed by the law. You are responsible for your actions if you refuse treatment or if you do not follow your providers' advice.
23. You have the right to get services in a way that respects your culture and what you believe in.
24. You have the right to an interpreter, if needed, to help you speak to AMHD or your providers. You have the right to have an interpreter in the room when your provider sees you.
25. You have the right to ask us to send you mail and call you at the address or telephone number of your choice, in order to protect your privacy. If we cannot honor your request, we will let you know why.
26. You have a right to a second opinion when deciding on treatment.
27. You have the right to expect that your information will be kept private according to the Privacy law.
28. You have the right to complain about your services and to expect that no one will try to get back at you. If you complain, your services will not stop unless you want them to.
29. You have the right to be free from being restrained or secluded unless a doctor or psychologist approves, and then only to protect you or others from harm. Seclusion and restraints can never be used to punish you or keep you quiet. They can never be used to make you do something you don't want to do. They can never be used to get back at you for something you have done.

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If you have any questions or concerns about these rights, you can speak to the Rights Advisor at your Community Mental Health Center or call the AMHD Consumer Advisor at (808) 586-4688.

- B. Each consumer must be provided an orientation to the program at a level educationally appropriate for the consumer, communicated in either the consumer's native language or sign language, as is appropriate for the individual. Documentation of the orientation must be kept in the consumer's treatment record and signed and dated by the consumer. If a consumer who received the orientation refuses to sign the form acknowledging that he/she received information regarding his/her rights, the staff shall document on the form that the consumer refuses to sign and the date that the information was provided to the consumer. At a minimum such orientation must include:

1. An explanation of the:
 - a) Rights and responsibilities of the consumer,
 - b) Grievance and appeal procedures
 - c) Ways in which input is given regarding:
 - the quality of care
 - achievement of outcomes
 - satisfaction of the consumer
2. An explanation of the organization's:
 - a) Services and activities
 - b) Expectations
 - c) Hours of operation
 - d) Access to after-hour services
 - e) Code of ethics
 - f) Confidentiality policy

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- g) Requirements for follow-up for the mandated consumer served, regardless of his or her discharge outcome
- 3. An explanation of any and all financial obligations, fees, and financial arrangements for services provided by the organization
- 4. Familiarization with the premises, including emergency exits and/or shelters, fire suppression equipment, and first aid kits
- 5. The program's policies regarding:
 - a) the use of seclusion or restraint
 - b) Smoking
 - c) Illicit or licit drugs brought into the program
 - d) Weapons brought into the program
- 6. Identification of the person responsible for case management
- 7. A copy of the program rules to the consumer, that identifies the following:
 - a) Any restrictions the program may place on the consumer
 - b) Events, behaviors, or attitudes that may lead to the loss of rights or privileges for the consumer
 - c) Means by which the consumer may regain rights or privileges that have been restricted
- 8. Education regarding advance directives, when legally applicable
- 9. Identification of the purpose and process of the assessment
- 10. A description of how the Individualized Service Plan (ISP) or other plan will be developed and the consumer's participation
- 11. Information regarding transition criteria and procedures

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12. When applicable, an explanation of the organization's services and activities include:

- a) Expectations for consistent court appearances
- b) Identification of therapeutic interventions, including:
 - Sanctions
 - Interventions
 - Incentives
 - Administrative discharge criteria

Date of Review: ___/___/___; ___/___/___; ___/___/___; ___/___/___

Initials: [_____] [_____] [_____] [_____] [_____]

Attachment E

**Division P&P Regarding
Consumer Grievances**

**Division P&P Regarding
Consumer Appeals**

ADULT MENTAL HEALTH DIVISION

POLICY AND PROCEDURE MANUAL

AMHD Administration

SUBJECT: Consumer Grievances

REFERENCE: Consumer Appeals, Consumer Rights,
Recovery Guide

Number: 60.906

Effective Date: 10/26/04

History: New

Page: 1 of 6

APPROVED:

Title: Chief, AMHD

PURPOSE

To outline the internal process and procedure for reviewing and resolving consumer grievances or any expressions of dissatisfaction.

POLICY

The grievance process is administered by Adult Mental Health Division's (AMHD) Office of Consumer Affairs.

A description of AMHD's grievance process is included in the Recovery Guide, which is distributed to all consumers within ten (10) days of entry into the AMHD service system. There is no punitive or retaliatory action taken against a consumer, consumer advocate or provider, acting on behalf of the consumer, for filing a grievance.

DEFINITIONS

- Action – The denial or limited authorization of a requested service, including the type or level of service; the reduction, suspension, or termination of a previously authorized service; the denial, in whole or in part, of payment for a service; the failure to provide services in a timely manner, unreasonable delays in services, or grievances not acted upon within prescribed timeframes.
- Appeal – A request for review of an action made by AMHD, as “action” is defined. Consumer Appeals are discussed in a separate policy and procedure.

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- Consumer – Anyone who is receiving services or potentially could be eligible to receive services.
- Grievance – An expression of dissatisfaction from a consumer or provider, or any authorized representative on behalf of the consumer about any matter other than an action, as “action” is defined.
- Grievance Review – A review process for grievance resolutions. A consumer may request a “grievance review” by AMHD if they do not agree with a provider’s resolution of a grievance.
- Inquiry – A contact from a consumer, or on behalf of the consumer, that questions any aspect of AMHD’s or a provider’s operations, activities, or behavior, or to request change to another provider, and does not express dissatisfaction.

PROCEDURE

1. Inquiry
 - A. Consumers should call their Case Manager for any inquiry or question regarding any aspect of AMHD or a provider’s operations, activities, or behavior, or request to change to another provider.
 - B. If during the contact, the consumer expresses dissatisfaction of any kind, the inquiry becomes an expression of dissatisfaction and becomes a Grievance or Appeal (see Grievance and Appeal process below).
2. Grievance
 - A. Consumers may file a grievance to express any dissatisfaction in regards to the following:
 - AMHD or provider’s operations
 - AMHD or provider’s activities
 - AMHD or provider’s failure to respect the consumer’s rights

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- AMHD or provider's behavior
- Provider or AMHD employee is rude
- Provider quality of care
- AMHD or provider's privacy practices – copies of these grievances are also forwarded to AMHD's Privacy Officer.

B. A consumer, provider or a consumer's authorized representative, acting on behalf of the consumer, may file a grievance orally or in writing.

- (1) For oral filing of grievance, the consumer may call the Office of Consumer Affairs and a Consumer Specialist will assist the consumer in writing the grievance by completing an AMHD Consumer Grievance Form (see Attachment A), however, any AMHD staff may assist the consumer to complete the Grievance Form. The Consumer will be given an option to receive a copy of the written grievance. The form is forwarded to the individual responsible for tracking grievances within the Office of Consumer Affairs who is defined as the Grievance Coordinator.
- (2) If a provider or an authorized representative on behalf of the consumer files the grievance orally, the consumer must give their written authorization.
- (3) The Grievance Coordinator directs the grievance to the appropriate individual within AMHD for investigation and resolution of the grievance. That individual forwards the written results of their investigation and resolution to the Grievance Coordinator for data entry and tracking.

- (4) All written grievances should be submitted to:

Adult Mental Health Division
Office of Consumer Affairs
Grievance Coordinator
P.O. Box 3378
Honolulu, Hawaii 96801-3378

- (5) Within five (5) working days of the receipt date, the grievant will be informed by letter that the grievance has been received.

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- (6) Each grievance will be thoroughly investigated by gathering facts from all relevant parties and using the applicable statutory, regulatory, and contractual provisions, as well as AMHD's policies and procedures.
- (7) AMHD will render a resolution of the grievance within thirty (30) calendar days of the receipt date. If the thirtieth (30th) day falls on a Saturday, Sunday, or State holiday, a resolution will be rendered the next working day. A letter of resolution will be mailed to the grievant and copies are sent to all parties whose interest has been affected by the decision. If the grievant has requested not to be identified, consumer identifying information will be left off other parties' letters.
- (8) The effective date of the decision will be the date of personal delivery, or if mailed, the postmarked date of the mailing.

C. The resolution letter includes and describes the following details:

- Nature of the grievance
- Issues involved
- Actions AMHD has taken or intends to take
- Reasons supporting AMHD's decision or action, including references to applicable statutes, rules, and procedures.
- A statement that AMHD's resolution of the grievance is final, unless the consumer requests an appeal by contacting the Office of Consumer Affairs.

D. AMHD may grant an extension of the resolution deadline of up to fourteen (14) calendar days if the consumer requests an extension or if additional information is needed. In this case, a letter will be sent to the grievant. The content of the notification will include the following details:

- Nature of the grievance
- Reason for the extension of the decision and how the extension is in the consumer's interest

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3. Appeals

- A. Consumers may file an appeal for the following actions or decisions made by AMHD:
- Prior authorization for a service is denied or limited
 - The reduction, suspension, or termination of a previously authorized service
 - The denial, in a whole or in part, of payment for a service
 - The denial of eligibility
 - Failure to provide services in a timely manner
 - Unreasonable delays in services, or appeals not acted upon within prescribed timeframes
 - Not satisfied with resolution of grievance
- B. The appeal process is discussed in a separate policy and procedure.

4. Other Requirements

- A. The AMHD Grievance Coordinator shall compile an aggregate quarterly grievance report and submit such report to the Quality Improvement Committee in the required format no later than forty-five (45) days from the end of each quarter.

The Aggregate Grievance Report shall at a minimum include the following elements:

- (1) Number of grievances sorted by date, nature of the grievance, county, and provider of services, if applicable;
- (2) Status of Resolution and if resolved, result including feedback, and
- (3) Turn-around times.

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- B. An Aggregate Annual Grievances Report shall be prepared and presented to the Quality Improvement Committee within sixty (60) days of the last quarter of the calendar year. The report shall contain an aggregate data report, analysis by county, and recommendations for improvement of clinical and service areas.
- C. Privacy of the grievance records is maintained at all times, including the transmittal of medical records.
- D. All grievances and related documentation are maintained in a secure, designated area and retained for a period of seven (7) years following the final decision, or closure of grievance.
- E. All grievances that concern provider organization actions and are proven quality of care or non-compliance with AMHD contracts or policies and procedures will be forwarded and collated by AMHD Performance Management and used in certification and contract review activities.

Initials:

Attachment A

Consumer Grievance Form

Date Received: _____

Taken by: _____

Consumer Name: _____

AMHD ID#: _____

Mailing Address: _____

Island: _____

Telephone #: _____

Name of Grievant: _____

Relationship to Consumer: _____

Mailing Address: _____

Telephone Number: _____

Note: If a representative is filing an oral grievance on behalf of an adult consumer, please obtain a written authorization from the consumer through the Authorization To Disclose Protected Information form.

Type of Contact:

☐

Letter

☐

Telephone

☐

In Person

Consumer Request Copy of Grievance? Yes ☐ No ☐

Grievance Regarding:

☐

Provider

Full Name: _____

☐

AMHD

ADULT MENTAL HEALTH DIVISION

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SUBJECT: Consumer Appeals

REFERENCE:

Plan for Community Mental Health Services IV, B, 1, a, i,
Consumer Grievances, Denial Letter,
Recovery Guide
HRS 91

Number: 60.903

Effective Date: 05/01/03
History: Rev. 10/04, 05/05

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APPROVED:

Title: Chief, AMHD

PURPOSE

To outline the process by which a consumer may appeal an action or decision made by Adult Mental Health Division (AMHD).

POLICY

The consumer appeals process is administered by the Office of Consumer Affairs.

A description of AMHD's appeals process is included in the Consumer Handbook, which is distributed to all consumers within ten (10) days of entry into the AMHD service system. There is no punitive or retaliatory action taken against a consumer, consumer advocate or provider, acting on behalf of the consumer, for filing an appeal.

Medicaid eligible consumers also have the right to request a Fair Hearing for appeals related to Medicaid reimbursable services provided by AMHD. This process does not require a Medicaid eligible consumer to appeal to AMHD first.

DEFINITIONS

- Action – The denial or limited authorization of a requested service, including the type or level of service; the reduction, suspension, or termination of a previously authorized service; the denial, in whole or in part, of payment for a service; the failure to provide services in a timely manner, unreasonable delays in services, or appeals not acted upon within prescribed timeframes.
- Appeal – A request for review of an action made by AMHD, as “action” is defined.

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- Consumer – Anyone who is receiving services or potentially could be eligible to receive services.
- Grievance – An expression of dissatisfaction from a consumer or provider, or any authorized representative on behalf of the consumer about any matter other than an action, as “action” is defined.
- Grievance Review - A review process for grievance resolutions. A consumer may request a “grievance review” by AMHD if they do not agree with a provider’s resolution of a grievance.
- Inquiry – A contact from a consumer, or on behalf of the consumer, that questions any aspect of AMHD’s or a provider’s operations, activities, or behavior, or to request change to another provider, and does not express dissatisfaction.
- Medicaid – A federal program administered by the Department of Human Services, Med-QUEST Division which provides medical coverage. Medicaid recipients can receive services from the Fee-for-service program or QUEST managed care health plans.

PROCEDURE

1. Inquiry
 - A. Consumers should call their Case Manager for any inquiry or question regarding any aspect of AMHD or a provider’s operations, activities, or behavior, or request to change to another provider.
 - B. If during the contact, the consumer expresses dissatisfaction of any kind, the Inquiry becomes an expression of dissatisfaction and becomes a Grievance (see Grievance and Appeal process below).
2. Grievance
 - A. Consumers may file a grievance if they express any dissatisfaction in regards to the following:
 - AMHD or provider’s operations
 - AMHD or provider’s activities

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- AMHD or provider failure to respect the consumer's rights
 - AMHD or provider's behavior
 - Provider or AMHD employee is rude
 - Provider quality of care
 - AMHD or provider's privacy practices – copies of these grievances are also forwarded to AMHD's Privacy Officer.
- B. The grievance process is administered by the Office of Consumer Affairs as delineated in the Consumer Grievances Policy and Procedures.
3. Appeals
- A. Consumers may file an appeal for the following actions or decisions made by AMHD:
- Prior authorization for a service is denied or limited
 - The reduction, suspension, or termination of a previously authorized service
 - The denial, in a whole or in part, of payment for a service
 - The denial of eligibility
 - Failure to provide services in a timely manner
 - Unreasonable delays in services, or appeals not acted upon within prescribed timeframes
 - Not satisfied with resolution of grievance
- B. AMHD Utilization Management shall notify consumers about their appeal rights and processes at the time of denial of eligibility or service request. Consumers shall have access to consumer advocacy and AMHD shall assure that any consumer who requests an advocate for this process shall be linked to this assistance.

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- C. Consumers who wish to appeal a decision regarding a Medicaid reimbursable service provided by AMHD and who are Medicaid recipients have the right to ask for a Fair Hearing from the Department of Human Services. These appeals do not have to go through the AMHD appeals process first. Medicaid recipients are directed to contact their Department of Human Services worker for information and assistance.
- D. A consumer, provider or a consumer's authorized representative, acting on behalf of the consumer with the consumer's written consent or if documentation is available to demonstrate the consumer is incapacitated, may file an appeal orally or in writing.
- E. For oral filing of appeal, the consumer (or consumer's representative with the written consent of the consumer or if documentation is available to demonstrate the consumer is incapacitated), may call the Office of Consumer Affairs and must also submit a follow-up written appeal.
- F. The designated case manager, or the designated crisis support manager, may appeal on behalf of the consumer without written consent if documentation is available to demonstrate the consumer is incapacitated. The case manager or crisis support manager shall provide specified clinical information to support the appeal request.
- G. An AMHD Consumer Appeal Form (see Attachment A) may also be completed on behalf of the consumer or consumer's representative. In this case, the completed Consumer Appeal Form will be sent to the consumer or the consumer's authorized representative if a written authorization has been received for review and signature.
- H. The consumer or the consumer's authorized representative must submit the follow-up written appeal or return the signed Consumer Appeal Form to the AMHD Office of Consumer Affairs which is designated as the AMHD Consumer Appeals Coordinator within one (1) week from the receipt date of the oral appeal. If the follow-up written appeal or the signed Consumer Appeal form is not received within the allotted timeframe, a follow-up call will be made to the consumer or the consumer's representative. If the consumer requests an extension for the filing deadline of the written appeal, AMHD will grant another one (1) week to submit the written appeal.
- I. If a written follow-up is not received, the appeal will be closed after thirty (30) calendar days without further action or investigation. The consumer will receive written notification of this.

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J. If a provider files a written appeal on behalf of a consumer, it will be initially designated as a Provider Complaint unless accompanied by the consumer's written consent. If the written appeal is filed with the consumer's written consent, AMHD will contact the provider to determine if consent was given. If the written consent is received, AMHD will transfer the Provider Complaint to a Consumer Appeal.

K. All written appeals should be submitted to:

Adult Mental Health Division
Office of Consumer Affairs
Consumer Appeal
P.O. Box 3378
Honolulu, Hawaii 96801-3378

4. First Level Appeal

- A. The appeal must be filed within thirty (30) days from the date of the initial action or decision made by AMHD. Exceptions to this deadline may be granted if details regarding extenuating circumstances are provided. At no time will an appeal be considered that is 180 days from the date of the initial action or decision made by AMHD.
- B. Within five (5) working days of receipt of the written appeal, the consumer, provider, or the consumer's authorized representative will be informed by letter that the appeal has been received.
- C. The consumer or authorized representative of the consumer may request to examine the consumer's case file, including medical records and any other documents considered during or before the appeal process by contacting the AMHD Consumer Appeals Coordinator in accordance with federal and state privacy regulations.
- D. All appeals will be thoroughly investigated by gathering facts from all relevant parties and using the applicable statutory, regulatory, and contractual provisions, as well as AMHD's policies and procedures.
- E. For appeals regarding reduction, suspension, or termination of a previously authorized service such care will be continued until resolution of the appeal.
- F. The AMHD Medical Director shall review the denial and shall make a determination (overturning or ratifying the denial). The AMHD Medical Director has the option of obtaining a second physician opinion prior to rendering an appeal decision.

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G. AMHD will render a resolution of the appeal within thirty (30) calendar days of the receipt date except in the case of an expedited appeal. If the thirtieth (30th) day falls on a Saturday, Sunday, or State holiday, a resolution will be rendered by the next working day. A letter of resolution will be mailed to the provider and copies are sent to all parties whose interest has been affected by the decision. The effective date of the decision will be the date of personal delivery, or if mailed, the postmarked date of the mailing.

H. The resolution letter includes and describes the following details:

- Nature of the appeal
- Issues involved
- Actions AMHD has taken or intends to take
- Reasons supporting AMHD's decision or action, including references to applicable statutes, rules, and procedures
- Process for a second level appeal if appeal denied

I. AMHD may grant an extension of the resolution deadline of up to fourteen (14) calendar days if the consumer requests the extension or if additional information is needed. In this case, a letter will be sent to the consumer. The content of the notification will include the following details:

- Nature of the appeal
- Reason for the extension of the decision and how the extension is in the best interest of the consumer

5. Expedited Appeals

A. Any AMHD consumer (or provider acting on behalf of the consumer with the consumer's written authorization) may request an expedited appeal.

B. An expedited appeal may be authorized if the standard review time frame of AMHD's appeal process may:

- Seriously jeopardize the life or health of the consumer

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- Seriously jeopardize the consumer's ability to access services with limited availability with a resulting loss of function
 - C. All expedited appeals will be thoroughly investigated by gathering facts from all relevant parties and using the applicable statutory, regulatory and contractual provisions, as well as AMHD's policies and procedures.
 - D. The AMHD Medical Director will review all expedited appeals.
 - E. A decision will be rendered within forty-eight (48) working hours of receipt of the request for an expedited appeal.
 - F. The decision will be phoned by the AMHD Consumer Appeals Coordinator to the consumer and provider.
 - G. The resolution letter includes and describes the following details:
 - Nature of the appeal
 - Issues involved
 - Actions AMHD has taken or intends to take
 - Reasons supporting AMHD's decision or action, including references to applicable statutes, rules, and procedures
 - Process for a second level appeal if appeal denied
6. Second Level Appeal
- A. The consumer or appealing party may proceed with a written second level appeal within thirty (30) calendar days from the date of the first level appeal determination letter.
 - B. The second level appeal letter along with any additional clinical information shall be sent to the AMHD Chief who shall obtain all relevant documentation from the AMHD UM Coordinator and the AMHD Medical Director. The second level appeal will be thoroughly investigated by gathering facts from all relevant parties and using the applicable statutory, regulatory, and contractual provisions, as well as AMHD's policies and procedures.

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- C. For appeals regarding reduction, suspension, or termination of a previously authorized service such care will be continued until resolution of the appeal by the AMHD Chief.
- D. Expedited appeals which result in an expedited second level appeal shall be reviewed and a decision rendered within forty-eight (48) working hours of receipt of the request for an expedited second level appeal if the request has been designated as such. The decision shall be phoned by the AMHD Consumer Appeals Coordinator to the consumer and provider.
- E. Within five (5) working days of receipt of the written non-expedited second level appeal, the consumer, provider, or the consumer's authorized representative will be informed by letter that the appeal has been received.
- F. AMHD will render a resolution of the appeal for non-expedited appeal within thirty (30) calendar days of the receipt date except in the case of expedited appeal. If the thirtieth (30th) day falls on a Saturday, Sunday, or State holiday, a resolution will be rendered by the next working day. A letter of resolution will be mailed to the consumer and copies are sent to all parties whose interest has been affected by the decision. The effective date of the decision will be the date of personal delivery, or if mailed, the postmarked date of the mailing.
- G. The resolution letter includes and describes the following details:
 - Nature of the appeal
 - Issues involved
 - Actions AMHD has taken or intends to take
 - Reasons supporting AMHD's decision or action, including references to applicable statutes, rules, and procedures
 - Statement concerning any other avenues of appeal, if any, available to the appellant.
- H. Consumers or their legal representatives who wish to appeal further must follow the Department of Health administrative appeals process, HR91f, or pursue through the legal system.

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7. Other Requirements

- A. The AMHD Consumer Appeals Coordinator shall compile a quarterly aggregate appeal report and submit such report to the AMHD Quality Council in the required format no later than forty-five (45) days from the end of each quarter.

The aggregate Appeals Report shall include at a minimum include the following elements:

- (1) Number of appeals sorted by date, nature of the appeal, county level of appeal, and provider of services, if applicable,
 - (2) Number of decisions upheld,
 - (3) Number of decisions overturned, and
 - (4) Turn-around times.
- B. An aggregate Annual Appeals Report shall be prepared and presented to the AMHD Quality Council within sixty (60) days of the last quarter of the calendar year. The report shall contain an aggregate data report, analysis, and recommendations for improvement of clinical and service areas.
- C. Privacy of the appeal records is maintained at all times, including the transmittal of medical records.
- D. All appeals and related documentation are maintained in a secure, designated area and retained for a period of seven (7) years following the final decision, or closure of appeal.
- E. All appeals that concern provider organization actions and are proven quality of care matters or non-compliance with the terms and conditions of AMHD contracts or policies and procedures will be forwarded and collated by AMHD Performance Management and used in certification and contract review activities.

ATTACHMENT

Consumer Appeal Form

Date of Review: ___/___/___; ___/___/___; ___/___/___; ___/___/___

Initials: [_____] [_____] [_____] [_____] [_____] [_____]

Attachment A

Consumer Appeal Form

Print Name of Consumer: _____

AMHD ID#: _____

Mailing Address: _____

Island: _____

Phone Number: _____

Signature of Consumer: _____ Date Signed: _____

Note to Consumer: By signing this form, you as a consumer are authorizing your provider or any representative (if there's any) to file this appeal on your behalf.

**** Please fill out this section if a provider or a representative is filing the appeal on behalf of the consumer****

Print Name of Representative: _____

Relationship to Consumer: _____

Phone Number: _____

Mailing Address: _____

Signature of Representative: _____ Date Signed: _____

Description of Service: _____

Date(s) of Service: _____

This image shows a single sheet of white paper with horizontal blue ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

You must sign this form and send it back to us within one (1) week.

Adult Mental Health Division, Attn. Consumer Appeals Coordinator, P.O. Box 3378, Honolulu, Hawaii 96801-3378. Or if you need help, call us at (808)586-4688 (Oahu)

Attachment F

QMHP AND SUPERVISION

Qualified Mental Health Professional (QMHP)

A Qualified Mental Health Professional (“QMHP”) is defined as a Licensed Psychiatrist, Licensed Clinical Psychologist (Ph.D. or Psy.D.), Licensed Clinical Social Worker (LCSW), Licensed Marriage and Family Therapist (LMFT), or Licensed Advanced Practice Registered Nurse (APRN) in behavioral health currently licensed in the State of Hawaii.

The QMHP shall oversee the development of each consumer’s treatment plan to ensure it meets the requirements stated in the Community Plan 2003 and sign each treatment plan.

The QMHP shall serve as a consultant to the treatment team.

The QMHP shall serve as the LOCUS expert.

The QMHP shall provide oversight and training.

The QMHP shall review and sign each authorization request for clinical services prior to submittal to ensure that the services requested are medically necessary.

The QMHP shall provide clinical consultation and training to team leaders and/or direct care providers as needed.

Additionally, for Specialized Residential Treatment Programs, the QMHP shall provide day-to-day program planning, implementation, and monitoring.

Mental Health Professionals (MHP)

Except for Assertive Community Treatment (“ACT”), the team leader is not required to be a QMHP. Non-QMHP team leaders shall be clinically supervised by a QMHP.

Non-QMHP team leaders are defined as Mental Health Professionals (“MHP”) and shall meet the following minimum requirements:

- Licensed Social Worker (LSW); or
- Master of Science in Nursing (MSN); or
- APRN in a non-behavioral health field; or
- Master’s degree from accredited school in behavioral health field
 - a) Counseling, or
 - b) Human Development, or
 - c) Marriage, or
 - d) Psychology, or
 - e) Psychosocial Rehabilitation, or
 - f) Criminal Justice.
- Master’s degree in health related field with two (2) years experience in behavioral health; or

- Licensed Registered Nurse with a Bachelors in Nursing and five (5) years experience in behavioral health

The MHP may supervise para-professional staff if the MHP is clinically supervised by a QMHP.

The MHP may function as the DIVISION Utilization Management Liaison.

Supervision:

Clinical supervision of all staff is ongoing and shall be sufficient to ensure quality services and improve staff clinical skills and is according to community standards, scope of license as applicable, and agency policies and procedures. Treatment team meetings are consumer focused whereas clinical supervision is staff focused. Therefore, treatment team meetings do not need to meet clinical supervision requirements.

One-on-one clinical supervision of MHP team leaders and direct care providers, if there is no MHP team leader, shall be performed by the QMHP at a minimum of once per month. If a MHP is the team leader, the MHP shall provide one-on-one monthly clinical supervision of non-MHP and non-QMHP staff.

The supervision shall be documented in writing, legible, signed and dated by the QMHP or MHP as directed by the provider agency's policies and procedures.

The DIVISION funded PROVIDER shall have policies and procedures to select and monitor the MHP team leaders if non-QMHP team leaders are used.

The QMHP and non-QMHP staff does not have to work in the same physical setting but shall have routine meetings as defined in the PROVIDER's policies and procedures.

Attachment G

Division P&P Regarding Warm and Welcoming Approach

ADULT MENTAL HEALTH DIVISION

POLICY AND PROCEDURE MANUAL

AMHD Administration

SUBJECT: Warm, Welcoming Approach

REFERENCE: Welcoming Section, CO-FIT100,
Page 8-9

Number: 60.639

Effective Date: 05/13/05

History: New

Page: 1 of 4

APPROVED:

Title: Chief, AMHD

PURPOSE

To describe the process for providing a warm, welcoming approach and environment in all AMHD facilities/sites.

POLICY

All Consumers seeking, or in treatment, with AMHD providers shall have face to face and telephone services which are provided in a warm, welcoming manner, whether or not there is a co-existence of a cross disability along with the mental illness. In such cases, integrated mental health and cross disability services and supports shall be provided according to community healthcare resources and clinically- and consumer-determined need(s).

DEFINITIONS

1. The Good Reception

- A place of welcome that gives the newcomer his/her first impression of the whole organization.
- The experience of reception and greeting tells you whether or not you matter to the people who are in charge of the facility/program.
- A well-presented Reception tells you that people are properly cared about here and confidentiality is respected.
- Users understand the need for security, but tend to become interested in the need for a sensitive reception.
- A culturally competent invitation to receive services including assistance for those where English is not a first language—use simple language.

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What do you look for at the entrance/the waiting room?

- The place [area] is clean and cared for.
- Magazines/newspapers are up-to-date and in tune with what people normally read. Information [is] available for various mental health disorders and recovery treatments. Group meetings are posted.
- The decor on walls is warm, mellow colors.
- Posters/artwork promotes Hope and Recovery.
- No Us/ [vs.] Them
 - Receptionists [are] friendly and unafraid
 - No screens/glass
 - No cold stares
 - Greeted equally with respect and dignity
 - Non-segregated restrooms
- A decent welcome sign—let the words be backed up by welcoming behavior.

2. **The Good Building**

- It's clean and cared for, its appearance reflects the caring attitude of the people who run it.
- Furniture is clean, good quality, comfortable and ergonomically correct.
- The décor on the walls reflect the beauty of our islands and its people.
- Rooms are available for privacy and conversation.
- All buildings shall provide for reasonable accommodations.
- Plants are present and well cared for.
- Smoking areas are designated away from the entrance of any building.

3. **The Good Worker**

- Listens
- Makes helpful suggestions
- They help carry the weight of decision-making
- They explain things to you
- They give practical help
- They act as an advocate for you, whether or not they agree with you
- They support hope and belief in unlimited potential
- Provide prompt, on time services:
- They offer choices

Further definitions for warm and welcoming shall be determined by a process of engaging consumer participation, establishing standards, implementing, evaluating and improving.

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The establishment of a warm, welcoming service provision shall be established through ongoing process improvement activities, which are systematized by establishing protocols and policies to support it.

SUGGESTED GUIDELINES

1. Those individuals who are identified as consumers, family members and significant others of consumers shall be welcomed at every AMHD funded program and site. The welcome shall be documented in program brochures that describe services at the site or in any other way the program broadcasts its array of services. This includes ACCESS, AMHD office, Trotter office, AMHD website, Hawaii State Hospital, and Kahi Mohala.
2. All consumers shall be asked if they desire to have family and/or significant other involvement in their treatment.
3. All AMHD Providers shall have a Policy and Procedure regarding how the agency site will create, improve and sustain service delivery in this manner. The policy shall include how staff will [be] oriented and trained in the warm, welcoming approach. The policy shall determine outcomes, the monitoring methodology and the process utilized for performance improvement.
4. All AMHD Providers shall have clinician competencies as a written part of human resource policies that require welcoming attitudes, accepting values, and skills in conveying empathy and hope to consumers with mental health disorders and cross disabilities, and that these competencies need to be demonstrated in practice and by formal assessment. Phone etiquette shall be included as a competency and training held as required.
5. The MD shall discuss and collaborate with the consumer regarding medications and their side effects so that there is [an] informed choice. This discussion shall be documented in the chart each time a prescription is written.
6. Family members and consumers shall be involved in creative group processes whenever possible, i.e., outings, games, role playing, etc.
7. All AMHD Providers shall include as part of their admissions policy specific welcoming language for people with mental health disorders and cross disabilities.

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8. The welcoming response shall convey recognition of the necessity to address treatment of the cross disabilities simultaneously in order to effect the most successful and desirable treatment outcomes.
9. The consumer shall be the head of the treatment team and always present, if possible at Interdisciplinary Treatment Plan Reviews.
10. Appropriate plans and arrangements for the integrated treatment of mental health disorders and cross disabilities conditions shall be evident in clients' clinical records at the program site and available to consumers and carried out in a comprehensive and integrated manner.
11. Henceforward, language reflecting AMHD's commitment to the Continuous, Comprehensive, and Integrated System of Care (CCISC) model shall be incorporated into every AMHD RFP, contract, and extension.
12. Upon finalization of a warm, welcoming policy, all AMHD providers shall submit a copy of their policy to AMHD Performance Management department for approval.
13. All AMHD Providers shall work collaboratively with their consumers to define, design, implement, evaluate and improve the warm, welcoming initiative in each program.

Date of Review: ____/____/____; ____/____/____; ____/____/____; ____/____/____

Initials: [_____] [_____] [_____] [_____] [_____] [_____]

Attachment H

**Comprehensive,
Continuous, Integrated
System of Care Model
by Kenneth Minkoff, M.D.**

Comprehensive, Continuous, Integrated System of Care Model

By Kenneth Minkoff, M.D.

The eight research-derived and consensus-derived principles that guide the implementation of the CCISC are as follows:

1. *Dual diagnosis is an expectation, not an exception:* Epidemiologic data defining the high prevalence of comorbidity, along with clinical outcome data associating individuals with co-occurring psychiatric and substance disorders (“ICOPSD”) with poor outcomes and high costs in multiple systems, imply that the whole system, at every level, must be designed to use all of its resources in accordance with this expectation. This implies the need for an integrated system planning process, in which each funding stream, each program, all clinical practices, and all clinician competencies are designed proactively to address the individuals with co-occurring disorders who present in each component of the system already.
2. *All ICOPSD are not the same; the national consensus four quadrant model for categorizing co-occurring disorders (NASMHPD, 1998) can be used as a guide for service planning on the system level.* In this model, ICOPSD can be divided according to high and low severity for each disorder, into high-high (Quadrant IV), low MH – high SA (Quadrant III), high MH – low SA (Quadrant II), and low-low (Quadrant I). High MH individuals usually have SPMI and require continuing integrated care in the MH system. High SA individuals are appropriate for receiving episodes of addiction treatment in the SA system, with varying degrees of integration of mental health capability.
3. *Empathic, hopeful, integrated treatment relationships are one of the most important contributors to treatment success in any setting; provision of continuous integrated treatment relationships is an evidence based best practice for individuals with the most severe combinations of psychiatric and substance difficulties.* The system needs to prioritize a) the development of clear guidelines for how clinicians in any service setting can provide integrated treatment in the context of an appropriate scope of practice, and b) access to continuous integrated treatment of appropriate intensity and capability for individuals with the most complex difficulties.
4. *Case management and care must be balanced with empathic detachment, expectation, contracting, consequences, and contingent learning for each client, and in each service setting.* Each individual client may require a different balance (based on level of functioning, available supports, external contingencies, etc.); and in a comprehensive service system, different programs are designed to provide this balance in different ways. Individuals who require high degrees of support or supervision can utilize contingency based learning strategies involving a

variety of community based reinforcers to make incremental progress within the context of continuing treatment.

5. *When psychiatric and substance disorders coexist, both disorders should be considered primary, and integrated dual (or multiple) primary diagnosis-specific treatment is recommended.* The system needs to develop a variety of administrative, financial, and clinical structures to reinforce this clinical principle, and to develop specific practice guidelines emphasizing how to integrate diagnosis-specific best practice treatments for multiple disorders for clinically appropriate clients within each service setting
6. *Both mental illness and addiction can be treated within the philosophical framework of a “disease and recovery model” (Minkoff, 1989) with parallel phases of recovery (acute stabilization, motivational enhancement, active treatment, relapse prevention, and rehabilitation/recovery), in which interventions are not only diagnosis-specific, but also specific to phase of recovery and stage of change.* Literature in both the addiction field and the mental health field has emphasized the concept of stages of change or stages of treatment, and demonstrated the value of stagewise treatment (Drake et al, 2001.)
7. *There is no single correct intervention for ICOPSD; for each individual interventions must be individualized according to quadrant, diagnoses, level of functioning, external constraints or supports, phase of recovery/stage of change, and (in a managed care system) multidimensional assessment of level of care requirements.* This principle forms the basis for developing clinical practice guidelines for assessment and treatment matching. It also forms the basis for designing the template of the CCISC, in which each program is a dual diagnosis program, but all programs are not the same. Each program in the system is assigned a “job”: to work with a particular cohort of ICOPSD, providing continuity or episode interventions, at a particular level of care. Consequently, all programs become mobilized to develop cohort specific dual diagnosis services, thereby mobilizing treatment resources throughout the entire system.
8. *Clinical outcomes for ICOPSD must also be individualized, based on similar parameters for individualizing treatment interventions.* Abstinence and full mental illness recovery are usually long term goals, but short term clinical outcomes must be individualized, and may include reduction in symptoms or use of substances, increases in level of functioning, increases in disease management skills, movement through stages of change, reduction in “harm” (internal or external), reduction in service utilization, or movement to a lower level of care. Systems need to develop clinical practice parameters for treatment planning and outcome tracking that legitimize this variety of outcome measures to reinforce incremental treatment progress and promote the experience of treatment success.

Attachment I

MI/SA

Psychopharmacology Guidelines

Psychopharmacology Practice Guidelines

(Minkoff, 1998; Sowers & Golden, 1999)

For Adaption and Implementation by COSIG and AMHD MISA Program

A. Assessment

1. Initial psychopharmacologic assessment in mental health settings should not require consumers to be abstinent.
2. Initial psychopharmacologic evaluation in substance disorder treatment should occur as early in treatment as possible, and incorporate capacity to maintain existing non-addictive psychotropic medications during detoxification and early recovery.
3. Diagnostic assessment of individuals with co-occurring disorders is based ideally on obtaining an integrated, longitudinal, strength-based history, which incorporates a careful chronological description of the individual's functioning, including emphasis on onset, interactions, effects of treatment, and contributions to stability and relapse of both disorders at each point in time. Particular focus is on assessing either disorder during periods of time when the other type of disorder is relatively stable. Obtaining information from family members, previous treaters, and collateral caregivers is extremely important.
4. Diagnostic and treatment decisions regarding psychiatric illness are best made when the comorbid substance disorder is stabilized. Nonetheless, thorough assessment (as described above) usually provides reliable indications for initial diagnosis and psychopharmacologic treatment, even for individuals who are actively using. This is particularly true for individuals with SMI.
5. Diagnostic and treatment decisions regarding substance disorder (including psychopharmacologic decisions) are best made when the comorbid psychiatric disorder is at baseline. Nonetheless, thorough assessment usually provides reliable information about the course and severity of the substance disorder, even for individuals whose mental illness is destabilized.

B. General Principles of Psychopharmacologic Treatment

1. Psychopharmacology for people with co-occurring disorders is not an absolute science. It is best performed in the context of an ongoing, empathic, clinical relationship that emphasizes continuous re-evaluation of both diagnosis and medication, and artful utilization of medication strategies to promote better outcome of both disorders.
2. Psychopharmacologic providers need to have ready access to peer review or consultation regarding difficult patients.
3. Some initial evidence of improvements in addictive disorders has been associated with several classes of psychiatric medications (e.g., SSRIs, bupropion, atypical antipsychotics – especially, clozapine – and others). The prescriber may want to consider the potential impact on the substance use disorder when choosing a medication for the psychiatric disorder.

4. In general, psychopharmacologic interventions are designed to maximize outcome of two primary disorders, as follows:

- a. For diagnosed psychiatric illness, the individual receives the most clinically effective psychopharmacologic strategy available, regardless of the status of the comorbid substance disorder.
- b. For diagnosed substance disorder, appropriate psychopharmacologic strategies (e.g., disulfiram, naltrexone, methadone/buprenorphine/LAAM) may be used as ancillary treatments to support a comprehensive program of recovery, regardless of the presence of a comorbid psychiatric disorder (although taking into account the individual's cognitive capacity and disability).

5. In general, psychopharmacologic providers will prioritize the following tasks, in order:

- a. Establish medical and psychiatric safety in acute situations
 - 1) In acutely dangerous behavioral situations, utilize antipsychotics, benzodiazepines, and other sedatives, as necessary, in order to establish rapid behavioral control.
 - 2) In acute withdrawal situations requiring medical detoxification, use detoxification medications for addicted psychiatric patients according to the same protocols as used for patients with addiction only.
- b. Maintain stabilization of severe and/or established psychiatric illness.
 - 1) Provision of necessary non-addictive medication for treatment of psychotic illness and other known serious mental illness must be initiated or maintained regardless of continuing substance use. Administration of depot neuroleptics should not be withheld because of concurrent substance use. Further, ongoing substance use is not a contraindication to use of clozapine, olanzapine, risperidone, quetiapine, or other atypical neuroleptics. Improving psychotic or negative symptoms may promote substance recovery.
 - 2) In patients with active substance dependence, non-addictive medication for established less serious disorders (e.g., panic disorder) may be maintained, provided reasonable historical evidence for the value of the medicine is present.
- c. Use medication strategies to promote or establish sobriety.
 - 1) Utilizing medication (e.g., disulfiram, naltrexone) to help treat addiction should always be presented as an ancillary tool to complement a full recovery program. Communicate clearly that medication will not eliminate the need for the patient to actively work on developing recovery skills.

- 2) Psychotropic medications for comorbid psychiatric disorders should be clearly directed to the treatment of known or probable psychiatric disorders – not to medicate normally occurring and expectable painful feelings.
 - 3) Addicts in early recovery have a great deal of difficulty regulating medication; fixed dose regimes, not prn's, are recommended, except for regulation of psychotic symptoms.
 - 4) In clinical situations where the psychiatric diagnosis and/or the severity of the substance disorder may be unclear, psychotropic medication may be used to treat presumptive diagnoses as part of a strategy to facilitate engagement in treatment and the creation of contingency contracts to promote abstinence.
- d. Diagnose and treat less serious psychiatric disorders (e.g., affective, anxiety, trauma-related, attentional, and/or personality disorders that are not serious or disabling) that may emerge once sobriety is established.
- 1) Once a disorder and an efficacious treatment regime for that disorder have been established, it is recommended to maintain that treatment regime even if substance use recurs.
 - 2) In patients with **active** substance **dependence**, it is not recommended to initiate medication for newly diagnosed non-serious disorders while patients are actively using; it is usually impossible to make an accurate diagnosis and effectively monitor treatment.
 - 3) In patients with substance dependence in very early recovery, however, non-addictive medication for treatment of presumptive primary non-serious psychiatric disorders may be initiated, if there is reasonable indication that such a disorder might be present.
 - 4) It is **not recommended** to establish arbitrary sobriety time periods for initiation of medication. At times, it may be appropriate to initiate psychotropic medication for non-psychotic disorders in the latter stages of detoxification; at other times, it may be appropriate to wait a few weeks, or even longer. With the emergence of newer medications (e.g., SSRI's) with more benign side effect profiles, there is little evidence that prescription of these medications inhibits recovery from substance dependence, and some evidence that such medication may in fact promote successful abstinence.
 - 5) Prescribers need to carefully consider the risks of prescribing potentially addictive medications (Schedule II-IV substances; non-specific sedatives, such as antihistamines, etc.) beyond the detoxification period. Continuing prescription of these medications should generally be avoided for patients with known substance dependence (active or remitted). On the other hand, they should not be withheld for selected patients with well-established abstinence who demonstrate specific beneficial responses to them without signs of misuse, merely because of a history of addiction. However, consideration of continuing prescription of potentially addictive medications for individuals with diagnosed substance dependence is an indication for both (a) careful

discussion of risks and benefits with the patient (and, where indicated, the family) and (b) documentation of expert consultation or peer review with more experienced addiction prescribers if possible.

- 6) For patients with histories of addiction who present for treatment on already established regimes of addictive medication (e.g., benzodiazepines), prescribers should establish an initial treatment contract that connects continued prescription with continued abstinence. In the event of relapse, the prescriber can work with the patient over time to titrate gradual reduction of the benzodiazepine with continued opportunities to establish and maintain abstinence. If it becomes clear that abstinence cannot be maintained, then taper and discontinuation of the benzodiazepines is indicated. A recommended tapering strategy is to switch the patient to equivalent dosing of Phenobarbital, add carbamazepine at a therapeutic dose (valproate or gabapentin may also be used), and then taper the Phenobarbital over 7-10 days.

C. Diagnosis-Specific Recommendations

1. **Schizophrenic Disorders:** Individuals with active comorbid substance disorder may benefit from addition of atypical neuroleptics. Initial studies indicate that clozapine, in particular, may have direct effect on reduction of substance abuse, in addition to improvement of substance reduction skills through reduction in positive and negative symptoms. (Albanese et al, 1994; Zimmet et al, 2000)

2. **Bipolar Disorders:** Many individuals with co-occurring substance use disorder appear to respond preferentially to second and third generation mood stabilizers, such as valproate and lamotrigine. This is likely to be more due to better efficacy with rapid cycling and atypical mood disorders, as well as broader efficacy with regard to impulsivity, anger, PTSD, and anxiety symptoms, rather than due to a direct effect on substance disorder. (Brady, 1995) Addition of second line mood stabilizers such as gabapentin and topiramate may also be useful. A significant population of individuals, however, will still respond best to lithium.

3. **Depressive Disorders:** No particular category of antidepressant is specifically recommended or contraindicated, although tricyclics are more difficult to use and more sedating. There is data that serotonergic medication may be helpful in certain addicted individuals, particularly those with early-onset alcoholism. Venlafaxine and nefazodone may have more anti-anxiety benefit than conventional SSRIs.

4. **Anxiety Disorders:** Recommendations on how to use benzodiazepines for individuals with addiction have been discussed in the previous section. Medication strategies for panic disorder are otherwise no different than for individuals without substance use disorders. For generalized anxiety, recommendations may include clonidine or guanfacine; venlafaxine, nefazodone, SSRIs, etc.; gabapentin, valproate, topiramate (PTSD symptoms especially); atypical neuroleptics. Buspirone can be effective, but it takes longer to work (months) in higher doses (over 60 mg usually) in individuals with histories of addiction and/or benzodiazepine use. (Tolfson et al)

5. **Attentional Disorders:** Bupropion is often recommended as the first medication in early sobriety (Wilens et al, 2001), proceeding to SSRIs and/or tricyclics. Ordinarily, sobriety should be well-established before initiation of stimulants. Data in both adolescents and adults clearly

support, however, the effectiveness of stimulants, when taken properly in individuals with clearly diagnosed ADHD, in improving outcome for both ADHD and substance disorder.

Addictive Disorders: Although medication strategies for treatment of addiction, including opiate maintenance therapy, have not been extensively studied in mentally ill populations, there is no evidence to indicate they are differentially effective in those populations compared to non-mentally ill populations. A few studies have demonstrated effectiveness of tightly monitored disulfiram in severely mentally ill alcoholics, when combined with other substance treatments. (Mueser et al, in press.) Naltrexone, acamprosate, etc. are all apparently effective in mentally ill populations when otherwise indicated. Use of these interventions should be restricted to motivated individuals participating in abstinence-oriented treatment, as an ancillary tool to support recovery. Within such populations, there is not yet clear data to determine who should be treated with psychopharmacologic interventions, and at what point in the treatment process.

Attachment J

Level of Care Service Criteria

**AMHD SERVICE STANDARDS: Targeted Case Management
SERVICE COMPONENTS**

COMMUNITY BASED CASE MANAGEMENT (CM)

Community-based case management services assists individuals to gain access to necessary medical, nursing social, restorative and rehabilitative services to reduce psychiatric and addiction symptoms and to develop optimal community living skills. Services include, but are not limited to, maintenance of a supportive relationship to assist with problem solving and development of necessary skills to sustain recovery, regular contact for the purpose of assessing or reassessing needs for planning or monitoring services, contact with collaterals (family and agency) to mobilize services and provide support and education. Additional services include advocacy on behalf of the individual, coordination of services specified in the plan, such as medication management and rehabilitation services, and crisis intervention.

The goals of community based case management are:

1. Assisting the consumer in developing recovery management relationships with multi-professional treatment team members that include but are not limited to peer-specialist, RN, case manager and psychiatrist or APRN.
2. Promoting recovery, vocational and personal goals and sustaining hope during periods of relapse.
3. Preventing, reducing or diminishing debilitating symptoms of mental illness and co-occurring substance abuse and medical conditions.
4. Providing rehabilitation and progressive treatment interventions utilizing stages of change, stages of treatment, motivational strategies and stage-wise case management for multiple co-occurring conditions.
5. Improving or establishing new linkages with a variety of community services and mobilizing the involvement of the consumer's support network.
6. Ongoing engagement of the consumer in treatment through relapse and recovery.
7. Promoting crisis prevention and planning, harm reduction, substance reduction, abstinence and recovery skill-building.
8. Teaching symptom monitoring and management skills.
9. Assisting the consumer in improving their responses to community living utilizing multi-professional team members to deliver recovery-oriented treatment in natural environments.

Level Of Care	LOCUS Level 2 or higher
Population Focus	Adults who are registered and eligible for Adult Mental Health Division services who meet the following criteria
Initial Authorization	UM TO DECIDE
Re-Authorization	UM TO DECIDE

Admission Criteria	<p>Meets all of the following:</p> <ol style="list-style-type: none"> 1. Consumer is capable of living in the community either in supportive or independent settings. 2. Consumer is in need of advocacy, support or any AMHD authorized service. 3. Moderate or less functional impairment as evidenced by at least one of the following: <ol style="list-style-type: none"> a. Troubled significant relationships but impulsive or abusive behaviors are under control b. Appearance and hygiene are below usual standards on a frequent basis c. Serious disturbances in vegetative activities but not serious threat to health d. Neglect or avoidance on some occasions of ability to fulfill social or vocational responsibilities and obligations e. Deficits in interpersonal relationships but able to engage in socially constructive activities f. Recent stabilization has been achieved through structured and/or protected setting 4. Either there is no co-morbidity or, if a medical or substance abuse problem exists, the problem may not adversely affect, or be adversely affected, by the presenting disorder to the extent that it may require medical monitoring 5. Consumer's environment may be moderately stressful with limited or few supports but more intensive intervention is not necessary in order for consumer to access needed services and supports
Continued Stay Criteria	<p>Meets all of the following:</p> <ol style="list-style-type: none"> 1. In order to maintain current community stability, requires this level of service at least 1 time per month, face-to-face contact with case manager 2. There is documented evidence that consumer is showing stabilization/improvements in the areas of functional status, increased environmental supports, and engagement to reasonably conclude that continued services at this level will further stabilize/increase consumer's functioning
Discharge Criteria	<p>Meets one of the following:</p> <ol style="list-style-type: none"> 1. Service no longer needed due to all of the following <ol style="list-style-type: none"> a. Functional stability has been maintained in the current community setting in the past 12 months b. In order to maintain current community stability, requires less than 1 time per month face-to-face contact with a similar service

	<ul style="list-style-type: none"> 2. Consumer is in inpatient facility with expectation of stay to exceed 360 days 3. Consumer is in specialized treatment service that incorporates case management services 4. Consumer refuses case management services at this level.
Service Exclusions	No other case management service would be appropriate while consumer is receiving this service.
Clinical Exclusion	None

Attachment K

Division P&P Regarding Continuity of Care (Transitions)

ADULT MENTAL HEALTH DIVISION

POLICY AND PROCEDURE MANUAL

AMHD Administration

SUBJECT: Continuity of Care (Transitions)

REFERENCE: American Association of Community Psychiatrists (AACP) Continuity of Care Guidelines; : Plan for Community Mental Health Service IV,B,1,b

Number: 60.638

Effective Date: 10/26/04

History: New

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APPROVED:

Title: Chief, AMHD

PURPOSE

To establish standards for the transition of care between levels of care and between providers of services.

POLICY

Adult Mental Health Division (AMHD) shall adopt the transition guidelines and outcome indicators established by the American Association of Community Psychiatrists (AACP) to assure that consumers who are moving between levels of care or between service providers are given adequate support and structure to assure a positive transition through the use of the following principles that are detailed in the AACP Continuity of Care Standards:

- Prioritization
- Comprehensiveness
- Coordination
- Continuity
- Service User Participation
- Support System Involvement
- Service User Choice
- Cultural Sensitivity

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- Prevention
- Resource Utilization
- Timing
- Designation of Responsibility
- Accountability
- Special Needs
 - o Addictions
 - o Geriatrics
 - o Forensics
 - o Child and Adolescence

DEFINITIONS

Transition:

The movement between levels of care or between providers of services. According to AACAP guidelines:

- “Transition implies concurrent and bi-directional responsibilities of all relevant elements of the service system as specific aspects of the treatment plan change.
- Transition implies collaboration among providers, which is required for a successful progression through the continuum.”

Designated Case Manager:

The case manager who is designated as the primary person responsible for the development and updates of the Individualized Service Plans (ISPs).

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PROCEDURE

AMHD shall adhere to the following procedures:

1. The Level of Care for Utilization Systems (LOCUS) shall be the primary clinical tool used in determining when a change in level of care is needed. The designated case manager shall be responsible for the completion of the LOCUS.
2. Consumer involvement and choice shall guide the development of transition planning and provider selection. Transition planning shall include the consumer, the consumer's case manager, the consumer's support systems, and both the current and new provider(s).
3. The Individual Service Plan (ISP) shall incorporate transition planning and the new provider shall "incorporate relevant elements of any preexisting treatment plan" into the new ISP.
4. Transition plans that involve movement to a lower level of care shall include relapse prevention planning.
5. Transition planning shall detail specific timelines and responsibilities of all parties involved in the transition period.
6. The existing provider shall maintain responsibility for the service being provided to the consumer until the time that the consumer is adequately ready for transfer to another provider.
7. AMHD shall establish a payment schedule for transition services for the new provider at the beginning of the transition and for the old provider at the end of the transition.
8. Transition periods shall be limited and shall be based upon the individual needs of the consumer and not the convenience of any provider.
9. In cases where a consumer moves to a higher level of care due to safety or functional reasons and a transition period cannot occur, the previous provider and the new provider shall cooperate with the consumer's case manager in providing information and supports to assure a smooth transition to the higher level of care.

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10. The following services and conditions constitute Transitions and require the above detailed planning to occur:
 - a. Between any level of Case Management or change in Case Management provider
 - b. Between Specialized Residential services and all other community services
 - c. Between levels of Housing
 - d. Between Day Services (Intensive Outpatient Hospital, Psychosocial Rehabilitation, Clubhouse, Day Treatment for Dual) or change in providers of these services
11. AMHD Quality Management (QM) shall include transition standards in their monitoring process based on the Outcome Indicators established by the AACP.

ATTACHMENT

AACP CONTINUITY OF CARE GUIDELINES

Date of Review: ___/___/___; ___/___/___; ___/___/___; ___/___/___

Initials: [_____] [_____] [_____] [_____] [_____]

AACP CONTINUITY OF CARE GUIDELINES

Best Practices for Managing Transitions Between Levels of Care

INTRODUCTION

Continuing engagement with treatment and recovery services is one of the most important aspects of addressing an episode of illness or ongoing disabilities associated with severe behavioral health problems. Interruption of care, for whatever reason, is among the most significant obstacles to establishing a stable recovery. It is in response to these circumstances that the AACP has prepared these guidelines to assist providers and planners in establishing standards for the management of transitions between levels of care.

A Progressive Conceptualization of the Service Continuum

With the development of LOCUS and CALOCUS, the AACP developed a structure of variable intensity service arrays that incorporate evolving concepts of "Levels of Care". In contrast to traditional concepts, overlapping and integrated levels of resource intensity are described, more conducive to providing true linkages between the phases of treatment for a given episode of illness. It is from this perspective that we have elaborated these guidelines for transition management.

Critique of Traditional Terminology

The traditional terminology of "discharge" planning is usually counterproductive in establishing continuity of care as it reinforces the notion of discreet, independent treatment programs operating in a fragmented system of care. Consequently, "discharge" terminology implies:

- Termination of service rather than a *transformation* of service variables and continuation of service in another setting.
- Recovery is sufficiently established and stable that services are no longer required.
- The *complete* termination of one provider's responsibility and the *equally complete* assumption of responsibility by another provider.

These concepts associated with discharge often lead to conflict between providers and the development of cracks in the service continuum through which many consumers readily fall.

Transition Rather Than Discharge

"Transition" planning better captures the concept of continuing care (not aftercare) throughout the episode of illness or service need.

- Transition implies concurrent and bi-directional responsibilities of all relevant elements of the service system as specific aspects of the treatment plan change.
- Transition implies collaboration among providers, which is required for a successful progression through the continuum.

Although this concept of fully integrated service systems still remains idealistic in most cases, the articulation of this ideal is an important element in the reform process. In this document we will use the traditional terminology in parallel with the more progressive "transition" terminology described here, recognizing that reality and idealism must rub shoulders during the process of change.

Applications of the Guidelines

These guidelines are intended to be more than a simple statement of principles. Rather, they are intended to provide a quality management framework by which systems of any type can continuously monitor and improve their processes for managing client transitions. For this to occur, it is essential that these organizations not only endorse these principles in theory, but also create methods to measure their implementation in practice. With this thought in mind, a sample outcome indicator is attached to each of the principles elaborated in the guidelines. Indicators of this type, customized and quantified to reflect the specific circumstances of the organization developing them, would allow for the measurement of the adherence to these principles.

These guidelines, along with their companion documents for special populations, will continue to evolve. We hope that these guidelines will be useful in their present form to all elements of the service system.

- Governmental agencies and other purchasers can use them for developing standards for contracts.
- Regulatory agencies can use them in practice guidelines and standard development.
- Program managers and quality managers can use them for developing program standards and quality indicators.
- Clinicians can use them in elaborating transition plans.

Continuity of Care Guidelines for Behavioral Health Service Systems

The following are general principles for developing transition plans for persons using behavioral health services moving from one level of care to another. They offer a synopsis of elements common to this process regardless of the setting or the population that is being served. Specific needs and issues related to special populations are elaborated in a series of companion documents, which will only be summarized here. Continuity of Care Guidelines can only offer a framework to facilitate transitions and plans which incorporate them must be adapted for each individual. They may provide a template for developing standards regarding transitions in specific circumstances throughout a service system.

Implementation of any set of guidelines is subject to the availability of resources. Community resources should be conceived of as an array of services and mutual supports which will operate as a unified system of care. If community resources are limited, the transition plan should make the most effective use of the resources that are available and reflect the most important priorities for the patient in question. Realistic determinations should be made on a case-by-case basis. Ideally, transitions between levels of care will be based on clear criteria such as those contained in the AACAP's LOCUS or ASAM's PPC2. Only with an integrated, client driven, community based system of care will the ideal planning for level of care transitions be achieved.

Principles for Transition of Care Between Levels of Service

1. **Prioritization:** Transition or discharge planning should begin at the time of admission to any level of care and should be a part of the treatment plan. Identification of transition needs and the coordination of services required to meet them will be most urgent at the most intense levels of care.

Outcome Indicator: Treatment plans, assessments and progress documentation will demonstrate activities relevant to issues likely to be encountered in anticipated transitions in treatment setting or providers.

2. **Comprehensiveness:** Transition plans should include all aspects of an individual's service needs. These would typically include continuing treatment, supportive services such as case management or child care, residential stabilization, treatment of co-morbid health issues, realistic financial supports, and mutual support networking. In some cases interface with the legal system or child protection/family service agencies will be required.

Outcome Indicator: All aspects of a service user's needs, as identified in completed assessments, will be adequately addressed in the transition plan.

3. Coordination: Coordination of and collaboration between elements of the service system which are involved with the client on either side of the transition should occur as part of the treatment plan such that a sense of continuity is achieved while the transition evolves. Whenever possible, information regarding the most recent experience should be provided to the agency where the client will be continuing care. Appropriate incentives for providers are an essential consideration in efforts to achieve this objective.

Outcome Indicator: Significant communication and coordination between all involved service providers is evident through service user's experience and relevant documentation.

4. Continuity: Transitions, either upward or downward in the continuum of services, should incorporate relevant elements of any preexisting treatment plan. Treatment plans should be relevant to the entire course of an episode of illness/disability so that they can provide a degree of continuity in the context of change if properly elaborated and utilized.

Outcome Indicator: Treatment plans incorporate significant aspects of previous treatment plans and build on prior treatment initiatives.

5. Service User Participation: Extensive participation of the service user in the formulation of transition planning is critical to success. Efforts should be made to elicit the service user's perspective on the specific difficulties they anticipate in making the transition and their preferences for services, and to address these issues in the elaboration of the plan.

Outcome Indicator: Documentation of the service user's perspective on the transition and his or her preferences for services is available.

6. Support System Involvement: Client and family involvement in the elaboration of the discharge/transition plan is essential from the time of admission at any level of care. The degree of family involvement will generally be dictated by the client's and the family's willingness to engage in the process. Other persons providing support in the community should be included as well if a client indicates a desire for their participation.

Outcome Indicator: Significant members of the service user's support system are consulted in the formulation of the transition plan or an effort to obtain their participation is evident.

7. Service User Choice: Transition/Discharge plans must reflect reality and address client needs in the most practical way possible. This will require recognition of the phase of illness and/or recovery of the client for which services are being planned. In many cases, clients may choose to leave treatment early or they may have had marginal investment in the service they are departing from. Regardless of the circumstances of their departure or the likelihood of their continuing in treatment, a comprehensive plan should be elaborated in a manner that is as inclusive of client wishes as possible.

Outcome Indicator: Service users will be offered comprehensive attention to their transition needs even when their choices do not coincide the service provider's.

8. Cultural Sensitivity: Transitions should be managed in a culturally sensitive manner. Considering this in its broadest sense, an individual's beliefs, customs, and social context must be considered when making transitions upward (to more intensive levels of service) or downward (to less intensive levels of service).

Outcome Indicator: Cultural issues relevant to the transition of services are identified and adequately addressed in the transition plan.

9. Prevention: Discharge planning from highly structured settings to loosely structured settings should include comprehensive relapse prevention planning. Strategies to avoid re-initiating old, dysfunctional patterns of behavior should be identified, as well as available community supports and treatment programming. Financial supports should be arranged in such a manner as to avoid undue potential to misuse funds in detrimental ways.

Outcome Indicator: Factors contributing to exacerbation of illness or disability have been identified and transition plan has included attention to strategies to minimize their impact.

10. Resource Utilization: The transition/discharge plan should be designed to maximize the resources available to the client for continuing care. This includes efforts to secure benefits for which the client is eligible with the active participation of the client. Planning should foster self-reliance while recognizing that significant support may be required in the early stages of recovery.

Outcome Indicator: Resources necessary for the support of the service user in the transition environment are identified and arrangements have been completed to meet those needs.

11. Timing: Whenever possible, transitions should take place gradually, titrated according to an individual's ability to adapt to changing roles and expectations.

Outcome Indicator: Opportunities to experience transition situations partially prior to termination of referring entities involvement are available and used.

12. Designation of Responsibility: Systems should develop clear protocols delineating responsibility for care of clients in transition periods. In most cases responsibilities should incorporate redundancies between the referring and receiving entities. These concurrent responsibilities will be more likely to ensure a smooth transition and prevent some of the discontinuations commonly observed in systems that do not contain overlaps between levels of care. Reimbursement arrangements should incentivize processes that incorporate concurrent responsibilities where appropriate, for the following transition functions:

- Assuring the service user's awareness of location, time, and contact person for next scheduled treatment session.

- Assuring that the service user has access to prescribed medication and that a sufficient quantity is available to allow uninterrupted use between physician contacts.
- Assuring that the service user is aware of the person(s) to contact should there be any difficulties with either obtaining or using medication during the transition period or with any other aspects of required services.
- Assuring that the service user can identify contact persons for arranging alterations in the original discharge plan should such changes become necessary.
- Assuring that the service user is aware of the tracking plan and the process that will be initiated to re-engage him/her should unplanned alterations in the plan occur.

Outcome Indicator: Contacts during transition period are clearly identified and service user was well informed and able to use specified arrangements.

13. **Accountability:** A mechanism for monitoring outcomes of transition plans and identifying opportunities to improve the process should be in place.

- Appropriate quality indicators should be established with realistic benchmarks that can be easily measured.
- A mechanism for establishing corrective action plans for systems unable to meet those expectations should be elaborated.
- Documentation should clearly indicate that all responsibilities delineated above occur and that they do so within appropriate time frames.
- Oversight of the quality management process should include all stakeholders in the system, including persons in recovery.
- Standards established should be incorporated into contracts with Managed Care Organizations to assure proper incentives in reimbursement.

Outcome Indicator: A quality improvement process is in place and is comprehensive.

14. **Special Needs:** Recognition of the needs of special populations and their incorporation into the transition plan is an essential element of the process. Specific guidelines have been elaborated for each of the populations considered below. The following points regarding transition planning for these populations are brief summaries of some of the unique aspects of this process for these people.

Addictions:

- Confrontation of disparities between a substance user's wishes and his/her needs to maintain abstinence are critical. The distinction between engagement and enabling is frequently a fine one, and transition efforts must attempt to maximize the former while attempting to minimize the latter.
- Recognizing that co-occurring psychiatric and medical problems are expected to be present in this population, transition plans should be particularly vigilant in assuring that identified needs are met.
- Plans should emphasize fluidity in the treatment continuum and acknowledge the continuing availability of services at any required level of care should the initial transition attempt be unsuccessful. Awareness of an individual's readiness for change will guide the types of transitions that might be recommended.
- Confidentiality is given particular emphasis in this population due to the stigma associated with it. Careful consideration must be given to the transfer of information between substance use treatment providers and must be done with the full consent and knowledge of the service user.
- Family members are often involved in the dynamic that contributes to the maintenance of addictions and therefore their participation in the transition plan and continuing treatment is a critical priority whenever it is possible.
- Mutual support programs, such as the twelve steps, have traditionally been an important component of the recovery process and have played a crucial role in relapse prevention plans. Transition plans should always attempt to acknowledge and incorporate the tradition of mutual support, while emphasizing the rationale for concurrent treatment.

Geriatrics:

- Involvement of the support system is an essential aspect of care. A primary caregiver should be identified and supported to the greatest extent possible by other service providers. Early establishment of this person as one who can make decisions in cases where the service user is unable to make informed choices is essential.
- The service user's participation in transition planning will vary according to cognitive capacities, but efforts must be made to assure that the elderly person is not assumed to have limited capacity when this is not so, and that their ability to make self-determined choices are maximized by clear communication and cognitively appropriate education.
- Interface with providers of physical health care is particularly important for the elderly. It must be established early and attention to these needs must be well integrated in the transition plan.

- Assessment of needs in all spheres of function must be obtained in order to insure a comprehensive transition plan. Multi-agency cooperation and communication will often be necessary to meet multiple needs.
- Insurance status may be a significant issue for many elderly clients, particularly with regard to prescription medication, as Medicare does not currently have provisions to cover these expenses.

Forensic:

- Post release planning may be avoided altogether if efforts to divert persons with mental illness from incarceration are successful.
- Post release planning cannot occur if persons with mental illness and substance use problems are not identified and engaged in treatment during the period of their incarceration.
- Residential components of the plan will be of particular importance, particularly for those persons who are homeless. This part of the plan may well be the difference between recidivism and successful community adjustment, and liaisons with community based housing resources are essential.
- Establishment or resumption of health insurance benefits will be a critical element in the post release plan.
- Interface with probation and parole supervision is vital to reducing repetition of illegal behaviors in the future.
- Facilitation of transitions may be enhanced through opportunities for inmates to meet with community providers prior to release. This is more difficult in a highly secured setting, but developing this capacity can have significant benefits with regard to service use.

Child and Adolescent:

- Multi-agency involvement in the provision of C&A Services require mutual engagement throughout periods of treatment.
- Parental responsibility or guardianship/custody must be established as quickly as possible in the course of treatment, and those who will be responsible must be involved actively in the planning process. Extended family should be included as well, unless specifically prohibited.
- Developmental level and capabilities will determine the extent of the child's participation in the planning process, but efforts should be made to maximize their role.

- Families or other responsible parties will be responsible for engagement of the child with the receiving agencies, and it will be critical to address their concerns as well as allowing for opportunities for them to interface with community providers prior to transition.
- Integration of treatment needs and educational needs should be an important aspect of transition planning and schools and teachers must be part of the planning process.
- Transitions from adolescent to adult systems of care are particularly difficult and will require special vigilance and coordination to be successfully completed. Gradual, titrated transitions will usually be required.

Attachment L

Division P&P Regarding Recovery (Treatment) Planning

ADULT MENTAL HEALTH DIVISION

POLICY AND PROCEDURE MANUAL

Number: 60.648

AMHD Administration

Effective Date: 06/03/05

History: New

SUBJECT: Recovery (Treatment) Planning

Page: 1 of 7

REFERENCE: CMS; State Licensure Requirements;
Plan for Community Mental Health
Services

APPROVED:

/s/

Title: Chief, AMHD

PURPOSE

To ensure that the recovery (treatment) planning process and documentation meet recognized professional standards and result in effective, person-centered, individualized, collaborative and coordinated care of the consumer.

POLICY

An initial recovery (treatment) plan is developed for each consumer within 72 hours of admission to an AMHD funded service. An individualized Recovery Plan, consistent with the consumer's goals and preferences is developed by an interdisciplinary team of professional staff within 30 days of admission. The Recovery Plan contains the following elements: a case formulation; statements describing the nature of the specific problems and needs of the consumer; the consumer's strengths and treatment preferences, clear, objective, behaviorally written goals with time frames for completion; a comprehensive program of treatment that includes individualized, specific treatment interventions. The consumer's recovery plan is formally re-evaluated at least every 6 months. The plan is revised as appropriate to reflect the consumer's current status, progress and treatment needs. It is then implemented according to the revisions. Progress notes shall be documented in the clinical record and shall describe the consumer's progress toward achievement of his/her goals, interventions provided, and their results.

RESPONSIBILITY STATEMENT:

- The psychiatrist shall be in charge of the treatment team and has the ultimate authority for all clinical decisions.
- The AMHD designated case manager shall be responsible for coordinating the development and monitoring of the implementation of the Recovery Plan.

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- All members of the interdisciplinary team come prepared to the meeting and collaborate with the consumer to formulate the case, plan for recovery and follow through on treatment interventions. Ideally, meetings should be face-to-face with all participants. If exceptions need to be made, the consumer must be fully informed and involved.
- The consumer is the focal point of the interdisciplinary treatment process. The consumer's role and responsibilities are delineated in the Recovery Guide.
- The psychiatrist shall ensure that the Recovery Plan is the result of collaboration between the consumer's own expressed goals for recovery and the interdisciplinary team's perspective. The Recovery Plan fully directs and integrates all care and treatment.
- The psychiatrist shall ensure that the consumer and all the disciplines are involved in the recovery planning process as directed by each consumer's needs.
- The psychiatrist is responsible and accountable for ensuring that the recovery plan is implemented.
- The psychiatrist may delegate some responsibilities to other team members.
- The psychiatrist shall ensure that performance improvement findings are used to improve recovery planning.

PROCEDURE

A. INITIAL RECOVERY (TREATMENT) PLAN

The Initial Recovery Plan is developed by a mental health professional within 72 hours of admission to an AMHD funded service. It is used to direct the consumer's care until the individualized Recovery Plan is developed. The focus of the Initial Recovery Plan is to meet the consumer's immediate health and safety needs.

B. COMPOSITION OF THE TREATMENT TEAM

1. The treatment team shall, at a minimum, consist of the consumer, the psychiatrist, and the case manager.
2. The consumer is considered an essential member of the treatment team and shall be present at his or her treatment team meetings and be encouraged to participate actively.
3. Family/significant others shall be invited with the consent of the consumer and encouraged to participate in the recovery plan review meetings or have input into recovery planning.

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C. RECOVERY PLANNING PROCESS

1. Interdisciplinary planning is based on multiple mental health professionals' assessments, is consumer focused and culturally informed, and incorporates the consumer's strengths and recovery goals and preferences.
2. The planning process identifies and describes the consumer's strengths and goals, behavioral problems and needs, and prioritizes problem areas. It establishes measurable long/intermediate and short term goals as appropriate, identifies approaches or interventions based on identified strengths and facilitates consumer's meeting those goals. The Recovery Plan review evaluates the consumer's progress toward those goals on identified target dates throughout the course of care.
3. The consumer's medical/dental problems are identified and significant medical/dental problems are included in the Recovery Plan in coordination with primary care services.
4. The process involves periodic review and/or revision of the Recovery Plan to reflect the consumer's progress and current treatment needs.
5. Review of each consumer's Recovery Plan shall occur at least once every 6 months, or whenever there is a significant change in it (e.g. change in problem identification, focus of treatment, level of care, services provided), and are structured to maximize consumer, family and community involvement.
6. Recovery plans are written and modified based on the consumer's identified goals and needs.
7. New problems and associated goals are documented in the progress notes and evaluated for possible inclusion in the Recovery Plan.
8. For each consumer, timely progress notes are written by all mental health professionals involved in the consumer's care.
9. The consumer signs off on the Recovery Plan and is given an initial copy and a copy every time the Plan is updated.

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D. CONTENT OF THE RECOVERY PLAN

The Recovery Plan consists of various components, including, but not limited to those described below.

1. Recovery Plan: The Recovery Plan includes

- a. Case Formulation: The case formulation is the synthesis of assessment formation and consumer goals illustrating the interactions of specific areas in need of attention. As this understanding evolves the formulation changes. The formulation drives the Recovery Plan and includes:
 - i. Is based on the domains of the LOCUS (Risk of harm; Functional Status; Medical, Addictive and Psychiatric Co-Morbidity; Recovery Environment (Level of Stress and Level of Support); Treatment and Recovery History; and Engagement)
 - ii. Includes a summary of the interrelationship and prioritization of LOCUS domains for recovery, and is based on the results of multidisciplinary mental health professionals' assessment.
- b. Legal Status: This indicates the consumer's legal status on admission and is updated to reflect court actions over the course of treatment.
- c. Diagnosis: The multi-axial diagnoses (I - V) are documented on the Recovery Plan. Provisional or deferred diagnoses are to be eliminated within 30 days.
- d. Contain at least the following elements:
 - i. All of the written explanations for each identified need that is not addressed in the Recovery Plan;
 - ii. A written quote by the consumer describing what he or she considers to be the measure of success;
 - iii. A case formulation that results from the multidisciplinary assessments used in developing the Recovery Plan;
 - iv. Written treatment goals that are prioritized based on the consumer's preferences, strengths and needs;
 - v. Goals that are worded in behavioral terms, with a completion time frame for each goal;
 - vi. Identification of specific treatment and PSR services and other community supports to be provided to the consumer, including the amount, duration and scope;

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- vii. Designation of the person responsible for each intervention of the Recovery Plan;
 - viii. Crisis planning that shall include the preferences of the consumer and detail the steps to be taken if a crisis occurs; and
 - ix. Written criteria for discharge from one level of care to another as appropriate.
- e. Be reviewed and updated at least once every six months or whenever there is a significant change in treatment; and
- f. Comply with requirements of the service provider's accrediting body, and/or Centers for Medicare and Medicaid Services.

2. Problems, Goals, Objectives and Interventions:

- a. Problem/needs title is brief, but descriptive.
 - i. The statement describes the nature of the specific problems and needs of the consumer.
 - ii. The individualized statement is meaningful to the consumer and reflects his/her goals and treatment contract with the treatment team.
 - iii. The initial date is included when the problem is identified (and, when applicable, the date the problem is resolved).
- b. For each problem, at least one long-term goal is identified. This is objective, behaviorally worded and is framed in the consumer's own words or in words the consumer can understand.
- c. A statement of consumer strengths related to the long-term goal.
- d. At least one clear, objective, behaviorally worded short-term goals.
 - i. Each short-term goal is measurable and includes the time frame for completion.
 - ii. Key indicators are used to define how the consumer's progress is measured.
- e. At least one specific treatment intervention for each short term goal.
 - i. All interventions described in the Recovery Plan shall be directed toward improving the consumer's level of function, and successful community integration.
 - ii. A brief statement and rationale for each intervention designed to achieve the specified short- and long-term goals specified in the plan.

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- iii. Start date, frequency, duration, and the name of the clinician(s) providing the intervention(s) are documented for all interventions on the Recovery Plan.

3. The individual Recovery Plan includes other elements:

Behavior Management Plans ("BMP"), when present, are to be an integral part of the Recovery Plan and are integrated into the overall Recovery Plan. They are developed by the treatment team for identified behavioral problems.

E. RECOVERY PLAN REVIEW (RPR)

1. Recovery Plan Review meetings are scheduled and convened by the consumer's Treatment Team 30 days after the initial recovery plan is written and at least every 6 months thereafter. When there is a change of case manager, the case manager will review the current Recovery Plan at the first session with the client. If changes are needed, minor changes can be noted on the current plan.
 - a. Additional team meetings are also held to evaluate changes in behavior, e.g. levels of care and services provided.
 - b. If the consumer is frequently or consistently refusing treatment and/or groups/classes, the team updates/changes the Recovery Plan. The team establishes a plan to deal with the refusals and considers offering alternate interventions including a BMP.
 - c. Recovery Plan should be reviewed and revised in accordance with the attached Clinical Alert #2005-01.
2. At the Recovery Plan Review, the team, including the consumer, considers and evaluates the consumer's progress toward each goal.
 - a. The Recovery Plan Review form is used to document review and updating of key information and is used to document specific changes to interventions or goals that are made to the Recovery Plan as necessary.
 - b. At a minimum, this review includes as needed:
 - i. A review and update of the case formulation
 - ii. A review of each problem, noting response to treatment, data supporting the change(s), and making necessary adjustments to the goals and interventions. (Note: Where a consumer appears to be meeting goals, the goals should be considered for change and where there has been no progress, goals and interventions should be considered for change.)

ADULT MENTAL HEALTH DIVISION

POLICY AND PROCEDURE MANUAL

Number: 60.648

AMHD Administration

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3. The treatment team psychiatrist, consumer, community case manager, and family member(s), (if present), also sign and date the Recovery Plan Review form.

F. DOCUMENTATION OF THE RECOVERY PLAN

1. Case management service provider and community mental health clinic maintain a paper record. After each recovery planning meeting, the appropriate forms are updated, signed and made part of the clinical record. The AMHD designated case manager shall be responsible for coordinating the development and monitoring the implementation of the Recovery Plan.
2. Recovery Plans must remain fully intact as verified by the participants' signatures. When any significant element of the Recovery Plan is revised, the whole Recovery Plan must be reprinted with the dates when the Recovery Plan was first developed and the date when the Recovery Plan was updated/changed. Only small changes to the Recovery Plan are allowed in handwriting if individually dated and signed by the person making the change.

ATTACHMENTS:

- 1) CMHC Recovery Plan
- 2) Clinical Alert #2005-01

Date of Review: __/__/__; __/__/__; __/__/__; __/__/__

Initials: [] [] [] []



Department of Health
Adult Mental Health Division

CLINICAL ALERT

2005-01

May 31, 2005

Subject: Triggers for Revision of Recovery (Treatment) Plan

Timeframe: Immediate implementation

AMHD is releasing this Clinical Alert to advise providers that a formal treatment team meeting, including the consumer and resulting in written revisions to the recovery plan, is necessary whenever there is a significant change in any part of the consumer's life which may increase the risk of destabilization.

Some of these triggering situations are:

- Suicide attempt;
- ER visit or hospitalization (medical or psychiatric);
- Significant clinical change;
- Homeless or immediate risk of losing housing;
- At risk of revocation of Conditional Release order;
- Loss of a significant member of the consumer's support system, including family, friend, pet, peer support, or staff;
- Decreased or no treatment participation, including dropping out or becoming lost to follow-up; and
- Substance abuse relapse.

The above is an incomplete list. There are other situations unique to each consumer that should also be considered a trigger for a recovery plan revision. Whenever a trigger situation is identified, the consumer and treatment team should meet as soon as possible.

Clinical Alert #2005-01

May 31, 2005

Page 2

Background: AMHD and providers have completed a quality improvement review process around the cluster of sentinel suicide events that occurred in March and April 2005. During this review, the issue of recovery plans not being reviewed and revised immediately following significant clinical events was identified as a contributory factor to these sentinel events. This addition of triggering events for recovery plan revision will be incorporated into the impending AMHD's policy on Recovery (Treatment) Planning.

**Contact: Kathy Yoshitomi
Treatment Service Director
733-4489**

Thank you for your assistance in improving the quality of our services.

Sincerely,

/s/

THOMAS W. HESTER, M.D.

Chief, Adult Mental Health Division

Recovery Plan – v.1b

(INDIVIDUAL SERVICE PLAN) Adult Mental Health Division

For Site Specific Use:

Last Name:	Gender: <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> Other	Service Plan Date:														
First Name:	CR#: Tracking#:	Review Due:														
Case Manager:	Review Done:															
Psychiatrist/Psychologist/APRN	2 nd Review Due:															
STRENGTHS/PREFERENCES/CULTURAL Issues			CONSUMER LONG TERM RECOVERY OR DISCHARGE GOALS:													
Case formulation can be found in <input type="checkbox"/> Psychiatrist's Intake Report in record <input type="checkbox"/> Attached <input type="checkbox"/> Other:																
Diagnoses			NEEDS IDENTIFIED BY CONSUMER:													
Axis I: a			1.													
b			2.													
c			3.													
d			4.													
Axis II:			Criteria For Change in Level of Care:													
Axis III:																
Axis IV:																
Axis V: (GAF)																
LOCUS: <input type="checkbox"/> CC <input type="checkbox"/> TCM <input type="checkbox"/> ICM <input type="checkbox"/> ACT <input type="checkbox"/> CSM																
GAF at review:		LOCUS at review:														
Special Needs Considerations for Service Planning:																
<input type="checkbox"/> Developmentally Disabled <input type="checkbox"/> Transportation <input type="checkbox"/> Non-ambulatory <input type="checkbox"/> Needs Interpreter <input type="checkbox"/> Hearing Impaired <input type="checkbox"/> Limited Sight <input type="checkbox"/> No special needs <input type="checkbox"/> Other:	Forensic Status: (<i>check one</i>)															
	<input type="checkbox"/> Voluntary <input type="checkbox"/> Parole <input type="checkbox"/> Conditional Release <input type="checkbox"/> Probation <input type="checkbox"/> Supervised Release <input type="checkbox"/> Jail Diversion Participant															
	Probation/Parole Officer Name:															
	Phone:															
	<input type="checkbox"/> History of Violence	<input type="checkbox"/> MI/SA Stage of change:	<input type="checkbox"/> HCR 20:	<input type="checkbox"/> Advance Directive:												
CRISIS PLAN: What are the consumer's triggers and warning signs? 																
Actions consumer/staff will take to prevent crisis: (Include names/numbers of supporters/resources) <table border="1"> <thead> <tr> <th>Actions</th> <th>Person Responsible</th> <th>Contact Information</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td></td> <td></td> </tr> <tr> <td>2.</td> <td></td> <td></td> </tr> <tr> <td>3.</td> <td></td> <td></td> </tr> </tbody> </table>					Actions	Person Responsible	Contact Information	1.			2.			3.		
Actions	Person Responsible	Contact Information														
1.																
2.																
3.																
Actions consumer/staff will take to manage crisis: (Include consumer's preferred treatments/facilities and those to avoid) <table border="1"> <thead> <tr> <th>Actions</th> <th>Person Responsible</th> <th>Contact Information</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td></td> <td></td> </tr> <tr> <td>2.</td> <td></td> <td></td> </tr> <tr> <td>3.</td> <td></td> <td></td> </tr> </tbody> </table>					Actions	Person Responsible	Contact Information	1.			2.			3.		
Actions	Person Responsible	Contact Information														
1.																
2.																
3.																

GOAL (Number to correspond with needs)	PLAN (Interventions including frequency, duration and person & discipline responsible. Include referrals here.)	STATUS (See key at bottom of page)

Explanation for identified consumer needs/goals that are not addressed in the ISP:

Consumer:	Date:	Psychologist/ APRN:	Date:
Psychiatrist:	Date:	Legal Guardian:	Date:
Case Manager:	Date:	Other:	Date:

Status Key:

OM = Outcome Met

If outcome not met, choose one:

W = Worse

NC = No Change

I = Improvement

DC = Discontinued

Attachment M

Definitions for Mental Health Workers

Mental Health Worker

Definition

A mental health worker may:

- Provide all direct treatment services to consumers that do not require a licensed qualified mental health professional,
- Provide specialized services in conjunction with other professionals,
- Coordinate services,
- Make referrals,
- Develop treatment plans,
- Monitor and evaluate progress,
- Provide ongoing support,
- Provide intake and assessments, and
- Make changes to treatment plans.

Educational and Experience Requirement

Mental health workers shall meet the following minimum requirements:

- Bachelor's degree with a minimum of twelve (12) semester credit hours in courses such as counseling, criminal justice, human services, psychology, social work, social welfare, sociology, or other behavioral sciences and one and one-half (1 ½) years of specialized experience.

Definition of Experience

Specialized experience is progressively responsible professional work experience that involved helping individuals and their families find satisfactory ways of identifying their problems, coping with their conditions, and functioning effectively within their environments. This experience may include identification and evaluation of the consumer's problems and needs the development of a service or treatment plan the initiation and implementation of the treatment plan monitoring of services and evaluation/assessment of the consumer's progress.

Supervision

A mental health worker's clinical supervisor is the team leader who is a QMHP or MHP.

Attachment N

Certifications

CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- (b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;
- (d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the grant, the employee will--
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central

point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted--
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices:

Office of Grants and Acquisition Management
Office of Grants Management
Office of the Assistant Secretary for Management and Budget
Department of Health and Human Services
200 Independence Avenue, S.W., Room 517-D
Washington, D.C. 20201

3. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the under-

signed, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

4. CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the Public Health Service terms and conditions of award if a grant is awarded as a result of this application.

5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the applicant organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The applicant organization agrees that it will require that the language of this certification be included in any subawards which contain provisions for children's services and that all subrecipients shall certify accordingly.

The Public Health Services strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Attachment O

Form SPO-H-205A Instructions

**Instructions for Completing
FORM SPO-H-205A ORGANIZATION - WIDE BUDGET BY
SOURCE OF FUNDS**

Applicant/Provider:	Enter the Applicant's legal name.
RFP#:	Enter the Request For Proposal (RFP) identifying number of this service activity.
For all columns (a) thru (d)	<p>Report your total organization-wide budget for this fiscal year by source of funds. Your organization's budget should reflect the total budget of the "organization" legally named. Report each source of fund in separate columns, by budget line item.</p> <p>For the first column on the first page of this form, use the column heading, "Organization Total".</p> <p>For the remaining columns you may use column headings such as: Federal, State, Funds Raised, Program Income, etc. If additional columns are needed, use additional copies of this form.</p>
Columns (b), (c) & (d)	Identify sources of funding in space provided for column titles.
TOTAL (A+B+C+D)	Sum the subtotals for Budget Categories A, B, C and D, for columns (a) through (d).
SOURCE OF FUNDING: (a) (b) (c) (d)	Identify all sources of funding to be used by your organization.
TOTAL REVENUE	Enter the sum of all revenue sources cited above.
Budget Prepared by:	<p>Type or print the name of the person who prepared the budget request and their telephone number. If there are any questions or comments, this person will be contacted for further information and clarification.</p> <p>Provide signature of Applicant's authorized representative, and date of approval.</p>

Special Instructions by the State Purchasing Agency: